

31-22-01

17

01/17/01
jc962 U.S. PTO

Please type a plus sign (+) inside this box

PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
unless it displays a valid OMB control number.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No.	OC0101US
First Inventor	HICHWA
Title	OPTICAL CROSS-CONNECT WITH MAGNETIC MICRO-ELECTRO-MECHANICAL ACTUATOR
Express Mail Label No.	EK770307211US

(Only for new nonprovisional applications under 37 CFR 1.53(b))

APPLICATION ELEMENTS

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages 37]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 16]
[Total Pages 53]
- Oath or Declaration
 - ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☒ Application Data Sheet. See 37 CFR 1.76

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☒ 37 CFR 3.73(b) Statement of Attorney (when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____
Group Art Unit: _____

Prior application information. Examiner: _____
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	(Insert label here)	or	<input type="checkbox"/> Correspondence address below
Name			
022849			
PATENT TRADEMARK OFFICE			
Address		State	Zip Code
City		Telephone	Fax
Country			

Name (Print/Type)	Scott W. Hewett	Registration No. (Attorney/Agent)	41,836
Signature	<i>Scott W. Hewett</i>	Date	Jan 17, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

Date of Deposit: January 16, 2001
Attorney Docket No.: OC0101US
Express Mail Label: EK770307211US

I hereby certify that this is being deposited with the United States
Postal Service "Express Mail Post Office to Addressee" service
under 37 CFR 1.10 on the date indicated above, addressed to:
Assistant Commissioner for Patents
Box PATENT APPLICATION
Washington, DC 20231
By: _____

FROM:

Scott W. Hewett
400 West Third Street, No. 223
Santa Rosa, CA 95401
Customer No. 022849
Tel.: (707) 591-0789

TO:

Assistant Commissioner for Patents
Box PATENT APPLICATION
Washington, DC 20231

Dear Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is the utility patent application of:

Inventors: Hichwa et al.

For: OPTICAL CROSS-CONNECT WITH MAGNETIC MICRO-ELECTRO-MECHANICAL
ACTUATORS

Enclosed are:

- a Utility Application Transmittal form
- an Application Data Sheet (2 pages)
- a Fee Transmittal sheet authorizing the Commissioner to charge \$1,696.00 to USPTO Deposit Account
Number 50-0891 with
 - a copy of the Fee Transmittal sheet for fee processing
- a title page
- 37 pages of specification, including description (28), claims (8), and abstract (1)
- 16 sheets of informal drawings
- a Declaration signed by Bryant Hichwa
- a true copy of a Declaration signed by John Foster, Richard Martin, Paul Rubel, John Stocker, and
Jeffery Summers
- a signed original Assignment of Application by Bryant Hichwa to Optical Coating Laboratory, Inc.
 - a copy of the Fee Transmittal sheet
- a Recordation Form Cover Sheet (2 pages) for the assignment to Optical Coating Laboratory, Inc.
- a Statement under 37 CFR 3.73(b) executed on behalf of Optical Coating Laboratory, Inc. by the
undersigned with a copy of the Assignment of Application and of the Recordation Form Cover
Sheet
- a stamped Return Receipt Postcard addressed to the undersigned

Respectfully submitted:

Scott W. Hewett
Reg. No. 41.836

Tel: (707) 591-0789

01/17/01
J962 U.S. PTO

PTO/SB/17 (09-00)
Approved for use through 10/31/2002 OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1,696.00)

Complete if Known

Application Number unassigned
Filing Date herewith
First Named Inventor HICHWA
Examiner Name unassigned
Group Art Unit unassigned
Attorney Docket No. OC0101US

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50-0891
Deposit Account Name Scott W. Hewett

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	710.00
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ 710.00)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
37	-20** = 17	18.00	306.00
11	-3** = 8	80.00	640.00
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 946.00)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	40.00
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY

Name (Print/Type) Scott W. Hewett

Signature

Registration No. (Attorney/Agent)

41,836

Complete (if applicable)

Telephone 707-591-0789

Date

Jan 17 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.